

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Thomas J. Daley, et al.

Serial No.: 10/767,588

Filing Date: January 29, 2004

Art Unit: 3624

Confirmation No.: 6169

Examiner: Unknown

Title: *SYSTEM AND METHOD FOR ROUTING A  
TRADING ORDER ACCORDING TO PRICE*

**Mail Stop Amendment**

Commissioner of Patents

PO Box 1450

Alexandria, VA 22313-1450

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, the copy of the US Patent Application Publication listed in the attached PTO-1449 form is not enclosed. A copy of the non-patent document is enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

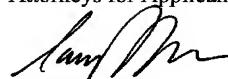
The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

**REMARKS**

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P.  
Attorneys for Applicants



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Reg. No. 41,617

Date: December 28, 2006

**Correspondence Address:**

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|--|--|-------------------------------|---|---------------------------------|
| PTO-1449   |  | Application No.<br>10/767,588 | Applicant(s)<br>Thomas J. Daley, et al. |                                 |
| Information Disclosure Citation<br>In an Application |  | Docket Number<br>069547.0173  | Group Art Unit<br>3624                  | Filing Date<br>January 29, 2004 |

## U.S. PATENT DOCUMENTS

|   |                 | DOCUMENT NO. | DATE | NAME  | CLASS | SUBCLASS | FILING DATE |
|---|-----------------|--------------|------|-------|-------|----------|-------------|
| A | 2001/0042040 A1 | 11/15/2001   |      | Keith | 705   | 37       | 03/08/2001  |
| B |                 |              |      |       |       |          |             |
| C |                 |              |      |       |       |          |             |
| D |                 |              |      |       |       |          |             |
| E |                 |              |      |       |       |          |             |
| F |                 |              |      |       |       |          |             |
| G |                 |              |      |       |       |          |             |
| H |                 |              |      |       |       |          |             |
| I |                 |              |      |       |       |          |             |
| J |                 |              |      |       |       |          |             |

## FOREIGN PATENT DOCUMENTS

|   |  | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|---|--|--------------|------|---------|-------|----------|-------------|----|
|   |  |              |      |         |       |          | YES         | NO |
| K |  |              |      |         |       |          |             |    |
| L |  |              |      |         |       |          |             |    |
| M |  |              |      |         |       |          |             |    |
| N |  |              |      |         |       |          |             |    |
| O |  |              |      |         |       |          |             |    |

## DOCUMENT (Including Author, Title, Source, and Pertinent Pages)

## DATE

|   |  |            |
|---|--|------------|
| P | Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages. | 12/13/2006 |
| Q |  |            |
| R |  |            |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE